



Receipt JPW

Dkt.0575/68103-PCT-US/JPW/MC

IN THE UNITED STATES PATENT OFFICE

Applicant : Kausik Si and Eric Kandel  
U.S. Serial No. : 10/578,203 ✓  
Filed : March 21, 2007  
For : PRION-LIKE FORM OF CPEB AND RELATED  
COMPOSITIONS AND METHODS

1185 Avenue Of The Americas  
New York, New York 10036  
November 15, 2007

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Mail Stop OIPE

Sir:

COMMUNICATION TO CORRECT ERROR IN FILING RECEIPT

This Communication is filed to request the issuance of a corrected Filing Receipt in connection with the above-identified application. Upon receipt of the official Filing Receipt for the subject application, a copy of which is attached hereto as **Exhibit A**, applicants' undersigned attorney noticed an error.

Specifically, the Domestic Priority data is listed incorrectly.

A corrected filing receipt should read as follows:

--Domestic Priority data

**This application is a 371 of PCT/US04/36781 filed 11/05/2004, and claims the benefit of U.S. Provisional Application 60/518,385 filed 11/07/2003;--**

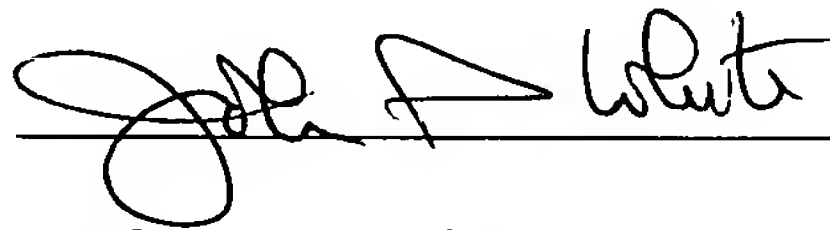
Applicants contend that the correct data may be found on page 2 of the Preliminary Amendment filed May 4, 2006 with the above-identified application and in the signed inventors' Declaration and Power of Attorney filed on March 21, 2007 in connection with the subject application. Copies of pages 1 and 2 of the May 4,

Kausik Si and Eric Kandel  
U.S. Serial No. : 10/578,203  
Filed: March 21, 2007  
Page 2

2006 Preliminary Amendment and of the Declaration and Power of Attorney are attached hereto as **Exhibits B and C**, respectively. Accordingly, applicants request that a corrected Filing Receipt be issued.

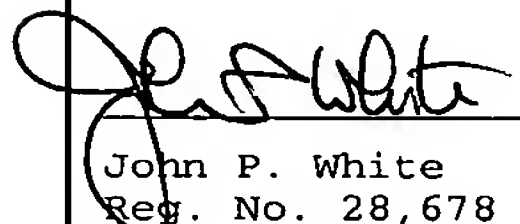
No fee is deemed necessary in connection with the filing of this Communication. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account 03-3125.

Respectfully submitted,



John P. White  
Registration No. 28,678  
Attorney for Applicants  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
(212) 278-0400

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

 11/15/07  
John P. White Date  
Reg. No. 28,678

# **EXHIBIT A**

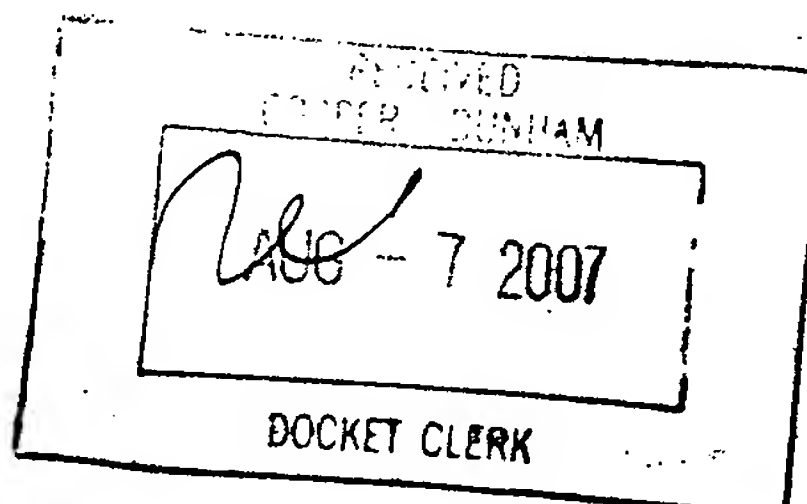


UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/578,203	03/21/2007	1636	365	68103-PCT-US/JPW/CH	20	3

23432  
 COOPER & DUNHAM, LLP  
 1185 AVENUE OF THE AMERICAS  
 NEW YORK, NY 10036



CONFIRMATION NO. 5211

## FILING RECEIPT



\*OC000000025122824\*

Date Mailed: 08/02/2007

Receipt is acknowledged of this nonprovisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Kausik Si, Kansas City, MO;  
 Eric Kandel, Riverdale, NY;

**Power of Attorney:** The patent practitioners associated with Customer Number 23432.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US04/36781 11/05/2004

## Foreign Applications

UNITED STATES OF AMERICA 60/518,385 11/07/2003

**If Required, Foreign Filing License Granted:** 07/31/2007

**The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is** **US10/578,203**

**Projected Publication Date:** 11/08/2007

**Non-Publication Request:** No

**Early Publication Request:** No

Applicants: Kausik Si and Eric Kandel  
 U.S. Serial No. 10/578,203  
 Filed: as §371 national stage of  
 PCT/US2004/036781  
 Exhibit A

**\*\* SMALL ENTITY \*\*****Title**

Prion-Like Form of Cpeb and Related Compositions and Methods

**Preliminary Class**

435

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER****Title 35, United States Code, Section 184****Title 37, Code of Federal Regulations, 5.11 & 5.15****GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

# **EXHIBIT B**



Dkt. 68103-PCT-US/JPW/CH

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Kausik Si and Eric Kandel  
U.S. Serial No. : Not Yet Known (national stage of PCT  
International Application No.  
PCT/US2004/036781)  
Filed : Herewith  
For : A PRION-LIKE FORM OF CPEB AND RELATED  
COMPOSITIONS AND METHODS

1185 Avenue of the Americas  
New York, New York 10036  
May 4, 2006

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PRELIMINARY AMENDMENT**

This Preliminary Amendment is being submitted in connection with the above-identified §371 national stage application based on PCT International Application No. PCT/US2004/036781, filed November 5, 2004, designating the United States and claiming priority of U.S. Provisional Application No. 60/518,385, filed November 7, 2003. Thirty (30) months from the priority date is May 7, 2006. Accordingly, this §371 national stage application and Preliminary Amendment are being timely filed.

**Amendments to the Specification** begin on page 2 of this paper.

A new **Abstract of the Disclosure** is referred to on page 3 of this paper and attached hereto as **Exhibit A**.

**Amendments to the Claims** are reflected in the listing of claims which begins on page 4 of this paper.

**Remarks** begin on page 8 of this paper.



Applicants: Kausik Si and Eric Kandel  
U.S. Serial No.: Not Yet Known  
Filed: Herewith  
Page 2

**Amendments to the Specification**

Please replace the paragraph on page 1, lines 3-5, with the following paragraph:

This application is a §371 national stage of PCT International Application No. PCT/US2004/036781, filed November 5, 2004, and claims the benefit of U.S. provisional application no. 60/518,385, filed November 7, 2003, the contents of all of which are hereby incorporated by reference into this application.

# EXHIBIT C



68103-PCT-US/JPW/CH

### DECLARATION AND POWER OF ATTORNEY

As a below-named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

#### A PRION-LIKE FORM OF CPEB AND RELATED COMPOSITIONS AND METHODS

the specification of which:  
(check one)

\_\_\_\_\_ is attached hereto.

X was filed as §371 national stage of PCT/US2004/036781, filed  
November 5, 2004 as

Application Serial No. 10/578,203

and was amended on May 4, 2006  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International Application which designated at least one country other than the United States, listed below. I have also identified below any foreign application for patent or inventor's certificate, or PCT International Application having a filing date before that of the earliest application from which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

<u>Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Yes</u>	<u>No</u>
<u>PCT/US2004/036781</u>	<u>PCT</u>	<u>November 5, 2004</u>	<u>X</u>	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Revised 09/02/04

Applicants: Kausik Si and Eric Kandel  
U.S. Serial No. 10/578,203  
Filed: as §371 national stage of  
PCT/US2004/036781  
Exhibit B

*I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:*

<u>Provisional Application No.</u>	<u>Filing Date</u>	<u>Status</u>
<u>60/518,385</u>	<u>November 7, 2003</u>	<u>Pending as of November 7, 2004</u>
<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>

*I hereby claim the benefits under Title 35, United States Code, Section 120 of any United States Application(s), or Section 365(c) of any PCT International Application(s) designating the United States listed below. Insofar as this application discloses and claims subject matter in addition to that disclosed in any such prior Application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56, which became available between the filing date(s) of such prior Application(s) and the national or PCT international filing date of this application:*

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
PCT/US2004/036781	November 5, 2004	Pending as of May 7, 2006

*And I hereby appoint*

John P. White (Reg. No. 28,678); Christopher C. Dunham (Reg. No. 22,031); Norman H. Zivin (Reg. No. 25,385); William E. Pelton (Reg. No. 25,702); Robert D. Katz (Reg. No. 30,141); Peter J. Phillips (Reg. No. 29,691); Paul Teng (Reg. No. 40,837); Gary J. Gershik (Reg. No. 39,992);

*and each of them, all c/o Cooper & Dunham LLP, 1185 Avenue of the Americas, New York, New York 10036, my attorneys, each with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, to transact all business in the Patent and Trademark Office connected therewith and to file any International Applications which are based thereon under the provisions of the Patent Cooperation Treaty.*

Please address all communications, and direct all telephone calls, regarding this application to:

John P. White, Esq. Reg.No. 28,678  
Cooper & Dunham, LLP (Customer Number 23432)  
1185 Avenue of the Americas  
New York, New York 10036  
Tel. (212) 278-0400

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or

first joint inventor Kausik Si

Inventor's signature Kausik Si

Date of signature 2-26-07

Citizenship United States of America INDIAN

Residence 154 Haven Avenue, Apt. 602, New York, New York 10032, United States of America

Post Office Address

see residence address

216 W. 66<sup>th</sup> ST.  
KANSAS CITY, MO 64113

Full name of

additional joint inventor(if any) Eric Kandel

Inventor's signature

Date of signature

Citizenship United States of America

Residence 9 Sigma Place, Riverdale, New York 10471, United States of America

Post Office Address

see residence address

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John P. White, Esq. Reg. No. 28,678  
Cooper & Dunham, LLP (Customer Number 23432)  
1185 Avenue of the Americas  
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Full name of sole or

first joint inventor Kausik Si

Inventor's signature

Date of signature

Citizenship United States of America

Residence 154 Haven Avenue, Apt. 602, New York, New York 10032, United States of America

Post Office Address see residence address

Full name of

additional joint inventor (if any)

Eric Kandel

Inventor's signature

Date of signature

2 | 22 | 07

Citizenship United States of America

Residence 9 Sigma Place, Riverdale, New York 10471, United States of America

Post Office Address see residence address



Dkt.0575/68103-PCT-US/JPW/MC

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